

07/11/01
1059 U.S. PTO

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Attorney Docket P1618P2C14

PATENT

CERTIFICATION UNDER 37 CFR 1.10

EL 809 448 155 US: Express Mail Number

July 11, 2001: Date of Deposit

I hereby certify that this Non-provisional Application Transmittal and the documents referred to as enclosed therein are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner of Patents, Washington, D.C. 20231.

Teri Renshaw

JC971 U.S. PTO
09/903562
07/11/01

1 1/2/a

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

BOX PATENT APPLICATION
Assistant Commissioner of Patents
Washington, D.C. 20231

NON-PROVISIONAL APPLICATION TRANSMITTAL UNDER 37 CFR 1.53(b)

Transmitted herewith for filing is a non-provisional patent application:

Inventor(s) (or Application "Identifier"):

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P. Mickey Williams, Half Moon Bay, CA
William I. Wood, Hillsborough, CA

Title: **SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND NUCLEIC ACIDS ENCODING THE SAME**

09903562 071101

1. Type of Application

- ☐ This application is for an original, non-provisional application.
- ☐ This is a non-provisional application claiming priority to provisional application no. __, filed __, the entire disclosure of which is hereby incorporated by reference.
- ☒ This is a ☐ continuation-in-part ☒ continuation ☐ divisional application claiming priority to application serial numbers: 60/059115 filed September 17, 1997; 60/059184 filed September 17, 1997; 60/059122 filed September 17, 1997; 60/059117 filed September 17, 1997; 60/059113 filed September 17, 1997; 60/059121 filed September 17, 1997; 60/059119 filed September 17, 1997; 60/059263 filed September 18, 1997; 60/059266 filed September 18, 1997; 60/062125 filed October 15, 1997; 60/062287 filed October 17, 1997; 60/062285 filed October 17, 1997; 60/063486 filed October 21, 1997; 60/062816 filed October 24, 1997; 60/062814 filed October 24, 1997; 60/063127 filed October 24, 1997; 60/063120 filed October 24, 1997; 60/063121 filed October 24, 1997; 60/063045 filed October 24, 1997; 60/063128 filed October 24, 1997; 60/063329 filed October 27, 1997; 60/063327 filed October 27, 1997; 60/063549 filed October 28, 1997; 60/063541 filed October 28, 1997; 60/063550 filed October 28, 1997; 60/063542 filed October 28, 1997; 60/063544 filed October 28, 1997; 60/063564 filed October 28, 1997; 60/063734 filed October 29, 1997; 60/063738 filed October 29, 1997; 60/063704 filed October 29, 1997; 60/063435 filed October 29, 1997; 60/064215 filed October 29, 1997; 60/063735 filed October 29, 1997; 60/063732 filed October 29, 1997; 60/064103 filed October 31, 1997; 60/063870 filed October 31, 1997; 60/064248 filed November 3, 1997; 60/064809 filed November 7, 1997; 60/065186 filed November 12, 1997; 60/065846 filed November 17, 1997; 60/065693 filed November 18, 1997; 60/066120 filed November 21, 1997; 60/066364 filed November 21, 1997; 60/066772 filed November 24, 1997; 60/066466 filed November 24, 1997; 60/066770 filed November 24, 1997; 60/066511 filed November 24, 1997; 60/066453 filed November 24, 1997; 60/066840 filed November 25, 1997; 60/069,425 filed December 12, 1997; 60/088,026 filed June 4, 1998; 60/099,803 filed September 10, 1998; 60/100,262 filed September 14, 1998; 60/100,858 filed September 17, 1998; 60/104,080 filed October 13, 1998; 60/109,304 filed November 20, 1998; 60/113,296 filed December 22, 1998; 60/143,048 filed July 7, 1999; 60/145,698 filed July 26, 1999; 60/146,222 filed July 28, 1999; 09/665,350 filed September 18, 2000; PCT/US98/18824 filed September 10, 1998; PCT/US98/19177 filed September 14, 1998; PCT/US98/19330 filed September 16, 1998; PCT/US98/19437 filed September 17, 1998; PCT/US98/25108 filed December 1, 1998; PCT/US99/20594 filed September 8, 1999; PCT/US99/20944 filed September 13, 1999; PCT/US99/21090 filed September 15, 1999; PCT/US99/21547 filed September 15, 1999; PCT/US99/23089 filed October 5, 1999; PCT/US99/28214 filed November 29, 1999; PCT/US99/28313 filed November 30, 1999; PCT/US99/28301 filed December 1, 1999; PCT/US99/28564 filed December 2, 1999; PCT/US99/28565 filed December 2, 1999; PCT/US99/30095 filed December 16, 1999; PCT/US99/30999 filed December 20, 1999; PCT/US99/30911 filed December 20, 1999; PCT/US00/00219 filed January 5, 2000; PCT/US00/03565 filed February 11, 2000; PCT/US00/04414 filed February 22, 2000; PCT/US00/05004 filed February 24, 2000; PCT/US00/05841 filed March 2, 2000; PCT/US00/07377 filed March 20, 2000; PCT/US00/08439 filed March 30, 2000; PCT/US00/14042 filed May 22, 2000; PCT/US00/15264 filed June 2, 2000; PCT/US00/20710 filed July 28, 2000; PCT/US00/23328 filed August 24, 2000, the entire disclosure of which is hereby incorporated by reference.

60/059115
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 60/066120
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 60/066770
 60/066511
 60/066453
 60/066840
 60/069,425
 60/088,026
 60/099,803
 60/100,262
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 PCT/US98/18824
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 PCT/US00/05841
 PCT/US00/07377
 PCT/US00/08439
 PCT/US00/14042
 PCT/US00/15264
 PCT/US00/20710
 PCT/US00/23328

2. **Papers Enclosed Which Are Required For Filing Date Under 37 CFR 1.53(b)
(Non-provisional)**

251 pages of specification
8 pages of claims
1 page(s) of abstract
124 sheet(s) of drawings
☒ formal ☐ informal

3. **Declaration or Oath**

(for new and CIP applications; also for Cont./Div. where inventor(s) are being added)
 ___ An executed declaration of the inventor(s) ☐ is enclosed ☐ will follow.

(for Cont./Div. where inventorship is the same or inventor(s) being deleted)
X A copy of the executed declaration/oath filed in the prior application is enclosed
 (37 CFR 1.63(d)).

(for Cont./Div. where inventor(s) being deleted)
 ___ A signed statement is attached deleting inventor(s) named in the prior
 application (see 37 CFR 1.63(d)(2) and 1.33(b)).

4. **Assignment**

(for new and CIP applications)
 ___ An Assignment of the invention to GENENTECH, INC. ☐ is enclosed with
 attached Recordation Form Cover Sheet ☐ will follow.

(for cont./div.)
X The prior application is assigned of record to Genentech, Inc.
 REEL/FAME 011508/0761
 Recorded: 05/05/2001

5. **Amendments (for continuation and divisional applications)**

___ Cancel in this application original claims __ of the prior application before calculating the filing
 fee. (At least one original independent claim must be retained for filing purposes.)

X A preliminary amendment is enclosed. (Claims added by this amendment have been
 properly numbered consecutively beginning with the number next following the highest
 numbered original claim in the prior application.)

Relate Back -- 35 U.S.C. 120 or 35 U.S.C. 119

X Amend the specification by inserting before the first line the sentence:

This is a

___ non-provisional application
X continuation

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 a1

☐ divisional
☐ continuation-in-part

of applications

- X U.S. serial number 09/665,350, filed September 18, 2000, which applications are incorporated herein by reference and to which applications priority is claimed under 35 USC §120; and
- X International Application serial numbers: PCT/US98/18824 filed September 10, 1998; PCT/US98/19177 filed September 14, 1998; PCT/US98/19330 filed September 16, 1998; PCT/US98/19437 filed September 17, 1998; PCT/US98/25108 filed December 1, 1998; PCT/US99/20594 filed September 8, 1999; PCT/US99/20944 filed September 13, 1999; PCT/US99/21090 filed September 15, 1999; PCT/US99/21547 filed September 15, 1999; PCT/US99/23089 filed October 5, 1999; PCT/US99/28214 filed November 29, 1999; PCT/US99/28313 filed November 30, 1999; PCT/US99/28301 filed December 1, 1999; PCT/US99/28564 filed December 2, 1999; PCT/US99/28565 filed December 2, 1999; PCT/US99/30095 filed December 16, 1999; PCT/US99/30999 filed December 20, 1999; PCT/US99/30911 filed December 20, 1999; PCT/US00/00219 filed January 5, 2000; PCT/US00/03565 filed February 11, 2000; PCT/US00/04414 filed February 22, 2000; PCT/US00/05004 filed February 24, 2000; PCT/US00/05841 filed March 2, 2000; PCT/US00/07377 filed March 20, 2000; PCT/US00/08439 filed March 30, 2000; PCT/US00/14042 filed May 22, 2000; PCT/US00/15264 filed June 2, 2000; PCT/US00/20710 filed July 28, 2000; PCT/US00/23328 filed August 24, 2000, which designated the U.S., which applications are incorporated herein by reference and to which applications priority is claimed under 35 USC §120 and
- X provisional application serial numbers: 60/059115 filed September 17, 1997; 60/059184 filed September 17, 1997; 60/059122 filed September 17, 1997; 60/059117 filed September 17, 1997; 60/059113 filed September 17, 1997; 60/059121 filed September 17, 1997; 60/059119 filed September 17, 1997; 60/059263 filed September 18, 1997; 60/059266 filed September 18, 1997; 60/062125 filed October 15, 1997; 60/062287 filed October 17, 1997; 60/062285 filed October 17, 1997; 60/063486 filed October 21, 1997; 60/062816 filed October 24, 1997; 60/062814 filed October 24, 1997; 60/063127 filed October 24, 1997; 60/063120 filed October 24, 1997; 60/063121 filed October 24, 1997; 60/063045 filed October 24, 1997; 60/063128 filed October 24, 1997; 60/063329 filed October 27, 1997; 60/063327 filed October 27, 1997; 60/063549 filed October 28, 1997; 60/063541 filed October 28, 1997; 60/063550 filed October 28, 1997; 60/063542 filed October 28, 1997; 60/063544 filed October 28, 1997; 60/063564 filed October 28, 1997; 60/063734 filed October 29, 1997; 60/063738 filed October 29, 1997; 60/063704 filed October 29, 1997; 60/063435 filed October 29, 1997; 60/064215 filed October 29, 1997; 60/063735 filed October 29, 1997; 60/063732 filed October 29, 1997; 60/064103 filed October 31, 1997; 60/063870 filed October 31, 1997; 60/064248 filed November 3, 1997; 60/064809 filed November 7, 1997; 60/065186 filed November 12, 1997; 60/065846 filed November 17, 1997; 60/065693 filed November 18, 1997; 60/066120 filed November 21, 1997; 60/066364 filed November 21, 1997; 60/066772 filed November 24, 1997; 60/066466 filed November 24, 1997; 60/066770 filed November 24, 1997; 60/066511 filed November 24, 1997; 60/066453 filed November 24, 1997; 60/066840 filed November 25, 1997; 60/069,425 filed December 12, 1997; 60/088,026 filed June 4, 1998; 60/099,803 filed September 10, 1998; 60/100,262 filed September 14, 1998; 60/100,858 filed September 17, 1998; 60/104,080 filed October 13, 1998; 60/109,304 filed November 20, 1998; 60/113,296 filed December 22, 1998; 60/143,048 filed July 7, 1999; 60/145,698 filed July 26, 1999; 60/146,222 filed July 28, 1999, the entire disclosure of which is hereby incorporated by reference and to

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which applications priority is claimed under 35 USC §119.--

6. Fee Calculation (37 CFR 1.16)

The fee has been calculated as follows:

CLAIMS FOR FEE CALCULATION					
Number Filed		Number Extra		Rate	Basic Fee 37 CFR 1.16(a)
					\$710.00
Total Claims	6	- 20 =	0	X \$18.00	\$0.00
Independent Claims	1	- 3 =	0	X \$80.00	\$0.00
<u>0</u> Multiple dependent claim(s), if any				+ \$270.00	\$0.00
Filing Fee Calculation					\$710.00

7. Method of Payment of Fees

The Commissioner is hereby authorized to charge Deposit Account No. 07-0630 in the amount of \$710.00. **A duplicate copy of this transmittal is enclosed.**

8. Authorization to Charge Additional Fees

The Commissioner is hereby authorized to charge any additional fees required under 37 CFR §1.16 and 1.17, or credit overpayment to Deposit Account No. 07-0630. **A duplicate copy of this sheet is enclosed.**

9. Additional Papers Enclosed

- ☐ Information Disclosure Statement (37 CFR §1.98) w/ PTO-1449 and citations
☒ Submission of "Sequence Listing", computer readable copy, certificate re: sequence listing, and/or amendment pertaining thereto for biological invention containing nucleotide and/or amino acid sequence.
☐ A new Power of Attorney or authorization of agent.
☒ Other: Post card

10. Maintenance of Copendency of Prior Application (for continuation and divisional applications)

[This item **must** be completed and the necessary papers filed in the prior application if the period set in the prior application has run]

- _____ A petition, fee and/or response has been filed to extend the term in the pending prior application until
_____ A copy of the petition for extension of time in the **prior** application is attached.

PTO 29520660

11. **Correspondence Address:**

X Address all future communications to:

Paul E. Rauch, Ph.D.
Brinks, Hofer, Gilson & Lione
NBC Tower - Suite 3600
455 Cityfront Plaza Drive
Chicago, IL 60611-5599
Telephone: 312-321-4780

Respectfully submitted,
GENENTECH, INC.

By: Mark T. Kresnak

Mark T. Kresnak, Ph.D.
Reg. No. 42,767
Telephone No. (650) 225-4461

Date: July 11, 2001



09157

PATENT TRADEMARK OFFICE

09157

Appendix A

I hereby claim benefit under Title 35, United States Code, §119(e) of any United States Provisional applications listed below:

JC971 U.S. PTO
09/903562
07/11/01

Provisional Application Serial Number	Filing Date
60/059,115	September 17, 1997
60/059,184	September 17, 1997
60/059,122	September 17, 1997
60/059,117	September 17, 1997
60/059,113	September 17, 1997
60/059,121	September 17, 1997
60/059,119	September 17, 1997
60/059,263	September 18, 1997
60/059,266	September 18, 1997
60/062,125	October 15, 1997
60/062,287	October 17, 1997
60/062,285	October 17, 1997
60/063,486	October 21, 1997
60/062,816	October 24, 1997
60/062,814	October 24, 1997
60/063,127	October 24, 1997
60/063,120	October 24, 1997
60/063,121	October 24, 1997
60/063,045	October 24, 1997
60/063,128	October 24, 1997
60/063,329	October 27, 1997
60/063,327	October 27, 1997
60/063,549	October 28, 1997

Appendix A

I hereby claim benefit under Title 35, United States Code, §119(e) of any United States Provisional applications listed below:

60/063,541	October 28, 1997
60/063,550	October 28, 1997
60/063,542	October 28, 1997
60/063,544	October 28, 1997
60/063,564	October 28, 1997
60/063,734	October 29, 1997
60/063,738	October 29, 1997
60/063,704	October 29, 1997
60/063,435	October 29, 1997
60/064,215	October 29, 1997
60/063,735	October 29, 1997
60/063,732	October 29, 1997
60/064,103	October 31, 1997
60/063,870	October 31, 1997
60/064,248	November 3, 1997
60/064,809	November 7, 1997
60/065,846	November 11, 1997
60/065,186	November 12, 1997
60/065,846	November 17, 1997
60/065,693	November 18, 1997
60/066,120	November 21, 1997
60/066,364	November 21, 1997
60/066,772	November 24, 1997
60/066,466	November 24, 1997

Appendix A

I hereby claim benefit under Title 35, United States Code, §119(e) of any United States Provisional applications listed below:

60/066,770	November 24, 1997
60/066,511	November 24, 1997
60/066,453	November 24, 1997
60/066,840	November 25, 1997
60/069,425	December 12, 1997
60/088,026	June 4, 1998
60/099,803	September 10, 1998
60/100,262	September 14, 1998
60/100,858	September 17, 1998
60/104,080	October 13, 1998
60/109,304	November 20, 1998
60/113,296	December 22, 1998
60/143,048	July 7, 1999
60/145,698	July 26, 1999
60/146,222	July 28, 1999

Appendix B

I hereby claim benefit under Title 35, United States Code, §120 of any United States and PCT International applications listed below:

<u>PCT/US Serial Number</u>	<u>Filed</u>	<u>Status</u>
PCT/US98/18824	September 10, 1998	Abandoned
PCT/US98/19177	September 14, 1998	Abandoned
PCT/US98/19330	September 16, 1998	Abandoned
PCT/US98/19437	September 17, 1998	Abandoned
PCT/US98/25108	December 1, 1998	Abandoned
PCT/US99/20594	September 8, 1999	Pending
PCT/US99/20944	September 13, 1999	Pending
PCT/US99/21090	September 15, 1999	Pending
PCT/US99/21547	September 15, 1999	Pending
PCT/US99/23089	October 5, 1999	Pending
PCT/US99/28214	November 29, 1999	Pending
PCT/US99/28313	November 30, 1999	Pending
PCT/US99/28301	December 1, 1999	Abandoned
PCT/US99/28564	December 2, 1999	Pending
PCT/US99/28565	December 2, 1999	Pending
PCT/US99/30095	December 16, 1999	Pending
PCT/US99/30999	December 20, 1999	Pending
PCT/US99/30911	December 20, 1999	Pending
PCT/US00/00219	January 5, 2000	Pending
PCT/US00/03565	February 11, 2000	Pending
PCT/US00/04414	February 22, 2000	Pending
PCT/US00/05004	February 24, 2000	Pending
PCT/US00/05841	March 2, 2000	Pending
PCT/US00/07377	March 20, 2000	Pending
PCT/US00/08439	March 30, 2000	Pending
PCT/US00/14042	May 22, 2000	Pending
PCT/US00/15264	June 2, 2000	Pending
PCT/US00/20710	July 28, 2000	Pending
PCT/US00/23328	August 24, 2000	Pending